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Approved For Release 2003/01/29 : CIA-RDP80B01676R001300020015-2

23 DEC 1963

MEMORANDUM FOR: Deputy Director (Science and Technology)

SUBJECT: Approval of Separate Activities in the
Science and Technology Area

25X1 1. In accordance with paragraph 1.c. of the regulation on the Approvals System ([] Revised 27 June 1963), this memorandum provides guidelines for the approval of certain activities in the Science and Technology Area. Procedures for approval of your research and development projects, such as these contracted for by the Office of ELINT, are outlined in another DDCI memorandum which has Agency-wide application. Accordingly, this memorandum addresses itself to these non-R&D undertakings of your directorate which would be characterized as "separate activities" within the meaning of the cited regulation.

2. The rapidly evolving nature of the Agency's Science and Technology program does not permit the establishment at this time of a finite list of line items which fall under the "separate activities" category. As an interim measure, however, it is requested that you apply the formula in this memorandum to the external research projects of the Office of Scientific Intelligence, and to such things as the development of new systems within the Office of Computer Services, certain specialized efforts in support of technical collection, etc. The experience factor will no doubt serve to refine this requirement further.

3. For separate activities of a non-R&D nature within the Science and Technology Area the approval of the Deputy Director of Central Intelligence must be obtained whenever:

a. A proposed undertaking involves a significant new policy consideration, or for any other reason suggests the desirability of prior consideration at head-of-agency level, regardless of financial magnitude.

b. A total authorization is required in excess of \$150,000 in the current fiscal year.

c. An amendment is proposed to an existing activity which would raise the total authorization more than \$100,000 above the level established in the Financial Plan.

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- 2 -

In addition the Deputy Director (Science and Technology) will notify the Director, Office of Budget, Program Analysis and Manpower of all financially significant changes relating to the over-all S&T program in such detail as the Executive Director-Comptroller may require for reporting on a current basis the status of the Financial Plan to the Deputy Director of Central Intelligence.

4. The Deputy Director (Science and Technology) may:

a. Approve new activities and amend, renew or terminate continuing activities which, based on the guidance given in paragraph 3. above, do not require consideration by the Deputy Director of Central Intelligence.

b. Delegate to the Assistant Deputy Director (Science and Technology) such authorizations as are granted to him in this memorandum.

c. Delegate to subordinate Assistant Directors approval authority within their individual Offices for the initiation, amendment, renewal or termination of activities, providing the total amount involved is not in excess of \$25,000.

5. Those actions involving separate activities within the Science and Technology Area which, based on the foregoing, do require approval by the Deputy Director of Central Intelligence shall be submitted via the Director, Office of Budget, Program Analysis and Manpower and the Executive Director-Comptroller with background materials and staff comments as appropriate.

SIGNED

Marshall S. Carter
Lieutenant General, USA
Deputy Director

O/BPAM/JMC/RLS/nc1 17 December 1963
Distribution:

Orig. - Ex. Director-Compt.
1 - Ex. Registry
1 - ER
3 - Budget Div. (O/BPAM)

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ER 63-8812/1

23 DEC 1963

MEMORANDUM FOR: Deputy Director (Plans)
Deputy Director (Intelligence)
Deputy Director (Science & Technology)
Deputy Director (Support)

SUBJECT: Approval of Research and Development Activities

25X1
1. In accordance with paragraph 1.e. of the regulation on the Approvals System ([] Revised 27 June 1963), this memorandum establishes guidelines for the approval of certain separate activities, namely the research and development efforts initiated by the Agency. The intent is to standardize the financial levels at which approval of higher level authority must be obtained.

2. As of this date the separate activities which shall be responsive to this memorandum of instruction, on an item-by-item basis, are:

a. Agent-oriented engineering/development efforts, whether contracted for externally or conducted internally, of the Technical Services Division, DD/P.

b. Research and development efforts relating to improved photographic exploitation initiated by the National Photographic Interpretation Center, DD/I.

c. Research and development undertakings of the Office of Communications, DD/S.

d. Research and development efforts of the Office of Research and Development and the Office of ELINT, DD/S&T.

e. The research and development activities, other than those included under the National Reconnaissance Office, of the Office of Special Activities, DD/S&T.

3. The annual preparation of R&D programs shall be coincident to the formulation of the Operating Budget. Review of these programs shall be undertaken by the Deputy Director concerned, in concert with the Director, Office of Budget, Program Analysis and Manpower and the Executive Director-Comptroller. The R&D programs and supporting detail as prescribed by the Executive Director-Comptroller will form the basis for approval by the Deputy Director of Central Intelligence of the R&D portion of the Operating Budget.

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-2-

4. In addition to procedures relating to program review and Operating Budget approval, the individual R&D efforts as set forth in paragraph 2. above require prior approval by the Deputy Director of Central Intelligence whenever:

a. A proposed undertaking involves a significant new policy consideration, or for any other reason suggests the desirability of prior consideration at head-of-agency level, regardless of financial magnitude.

b. A proposed new undertaking requires a total authorization in excess of \$150,000 in the current fiscal year.

c. An amendment is proposed for an existing project or contract which would raise the total authorization more than \$100,000 above the level established in the pertinent R&D program.

Such requests for DDCI approval shall be submitted via the Director, Office of Budget, Program Analysis and Manpower and the Executive Director-Comptroller. Attached at Annex is a suggested outline to be followed in documenting R&D projects and contracts for approval purposes. Where there is an existing approvals mechanism within a Deputy Directorate such system may be retained provided the submissions generally encompass the information required at Annex.

5. A Deputy Director may:

a. Approve new R&D efforts and amend, extend, renew or terminate continuing efforts which, based on the guidance given in paragraph 4. above, do not require consideration by the Deputy Director of Central Intelligence.

b. Delegate approval authorities contained in paragraph 6.a. above to his Assistant Deputy Director.

c. Delegate to subordinate Operating Officials authority to approve new R&D efforts and to amend, extend, renew or terminate continuing efforts, provided the action taken will not cause the total authorization to exceed \$50,000 in the current fiscal year.

6. Deputy Directors will notify the Director, Office of Budget, Program Analysis and Manpower of all financially significant changes relating to R&D programs in such detail as the Executive Director-Comptroller may require for reporting on a current basis the status of the Financial Plan to the Deputy Director of Central Intelligence

SIGNED

Marshall S. Carter
Lieutenant General USA
Deputy Director

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-3-

O/BPAM/JMC/RLS/bef/18 Dec 63

Distribution:

- 1 - Each Addressee
- 1 - Executive Registry
- 3 - Budget (O/BPAM)

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Annex

Research and Development
Project Approval Request

I. Identification

Under what category of Agency Program Activity will project be undertaken; by what component; included in financial plan and at what level; if not what prompted initiation now; any internal designation?

II. Objectives

What is requirement for this effort, what will be resulting product, how will it be used, what is advancement over existing capabilities?

III. Background

Substantive and/or operational justification, previous or existing means of meeting problem pertinent operational experience.

IV. Technical Specifications

Technical data as applicable and in sufficient detail to permit reasonable evaluation by qualified staff elements within the requesting component, but at the same time this section should not incorporate full specifications as might be worked up by the contractor.

V. Contractor & Financial Arrangements

Name of firm; others considered; reason for choice; cost; duration; guidance from Headquarters, etc.

VI. Coordination

Within the Agency; with other Governmental departments; with academic or business institutions as appropriate.

VII. Security

Within the Agency; within the contracting firm or institution; other aspects.

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MEMORANDUM FOR: Director of Communications

SUBJECT : Approval of Research and Development Activities

4 Feb 64

Your attention is invited to the attached copy of a memorandum to the Deputy Directors from the Deputy Director of Central Intelligence prescribing approval authorities for research and development activities. Within the total framework of the approval mechanism prescribed in that memorandum, and with particular reference to paragraph 5. c., the Director of Communications is hereby authorized to approve new research and development efforts and to amend, extend, review, or terminate continuing efforts, provided the action taken will not cause the total authorization to exceed \$50,000 in the current fiscal year.

LS/
L. K. White
Deputy Director
for Support

Attachment:

Memo dtd 23 Dec 63 to DD/P, DD/L,
DD/S&T & DD/S fr DDCL same subject

SA-DD/S:RHW:KK (10 Jan 64)

Revised: RHW:inf (13 Jan 64)

Distribution:

Orig & 1 - Adse w/cc of att (DD/S 63-5574

1 - DD/S Chrono

1 - DD/S Subject w/cc of att

Reviewed by DD/S
Admin Distribution 64-2

41 Feb 64

MEMORANDUM FOR: Director of Logistics

SUBJECT : Approval of Research and Development Activities

1. Your attention is invited to the attached copy of a memorandum to the Deputy Directors from the Deputy Director of Central Intelligence prescribing approval authorities for research and development activities.

2. Within the scope of your normal authority in connection with the research and development programs of the Agency you are requested to monitor these activities and report to me any failure to comply with the principles and policies enunciated by the Deputy Director of Central Intelligence.

151
L. K. White
Deputy Director
for Support

Attachment:

Memo dtd 23 Dec 63 to DD/P, DD/I,
DD/S&T, & DD/S fr DDCL, same subject

SA-DD/S:RHW:kbb (10 Jan 64)

Retyped: fmf (14 Jan 64)

Distribution:

Orig & 1 - Adse w/cc of DD/S 63-5574)

1 - DD/S Chrono

1 - DD/S Subject w/cc of DD/S 63-5574

Revised by 15/3
Admin Instruction 64-2

6/7 Feb 64

MEMORANDUM FOR: Assistant Deputy Director for Support

SUBJECT : Approval of Research and Development Activities

Your attention is invited to the attached copy of a memorandum the Deputy Director of Central Intelligence has addressed to the Deputy Directors prescribing the approval authorities for research and development activities. Within the total framework of the approval system in that memorandum, and with particular reference to paragraph 5, the Assistant Deputy Director for Support is hereby authorized to exercise the authorities delegated to the Deputy Director for Support.

151
L. K. White
Deputy Director
for Support

Attachment:
Memo dtd 23 Dec 63 to DD/P, DD/L,
DD/S&T, & DD/S fr DDCL same subject

SA-DD/S:RHW:fmf (13 Jan 64)

Distribution:

Orig - ADD/S : w/cc of att (DD/S 63-5574)
1 - DD/S Chrono
1 - DD/S Subject w/background

Received by
DAS Admin Instructions
64-2

when such undertaking is believed to be particularly sensitive or of significant interest to the Deputy Director of Central Intelligence.

LS/
R. L. Bannerman
Deputy Director
for Support

The recommendations contained in paragraph 7 are approved:

LS/

L. K. White
Executive Director-Comptroller

10 Aug 80

Date

Distribution:

Orig - DD/S
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1 - D/BPAM
2 - DD/S
1 - SSA-DD/S

\$75,000 and that actions exceeding \$75,000 be submitted to the Deputy Director of Central Intelligence for consideration.

STAT 7. In view of the absence of specific monetary provisions in [] with regard to approval levels, I believe it is appropriate to seek guidance on and a clear definition of my approval authorities in the utilization of Agency funds allotted to the Support Directorate. It is recommended that for the Support Directorate, the Deputy Director for Support be authorized to:

a. Retain the authority to approve research and development activities as delegated to the Deputy Directors by the DDCI in his memorandum of 23 December 1963 (Reference b).

b. Approve activities other than research and development involving funds not exceeding ^{100,000 LKW} ~~\$150,000~~ when such activities are not specifically included in DCI approved office budgets and programs.

c. Approve construction activities or real estate purchases involving funds not exceeding ^{75,000 LKW} ~~\$75,000~~, when such actions are not specifically included in DCI approved office budgets and programs.

d. Approve activities other than research and development regardless of financial magnitude when such activities are specifically included in DCI approved office budgets and programs.

e. Approve incremental reprogramming of funds within the Offices of the Support Directorate not exceeding a total of 10 per cent of an Office allotment.

If this recommendation is approved, I will, of course, continue to submit for approval of the Deputy Director of Central Intelligence any proposed commitment of funds for any purpose, regardless of magnitude,

nature to the office concerned, such as: large single procurements of standard equipment for the Office of Communications, or replenishment of standard supplies and material for the Office of Logistics inventories. It is felt that when proposed Support Directorate actions have been included in the Support Component's Budget and Program, have been reviewed by the Office of BPAM, and have been approved by the Director of Central Intelligence, they need not normally be submitted to the Deputy Director of Central Intelligence for further consideration.

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5. [] states: "Within the jurisdiction of the Executive Director-Comptroller and of each Deputy Director and Head of an Independent Office, the allocations made to major staffs, divisions, and offices are not ordinarily subject to redistribution." It recognizes, however, the occasional necessity for departure from the fixed plan to "align resources with changing requirements." The Regulation does not, however, establish monetary limitations within which Deputy Directors or Heads of Independent Offices may reprogram allotted funds without higher approval. It has been the practice in the Support Directorate to permit Office Heads to realign their allotted funds to meet changing requirements provided that any proposed undertaking does not involve policy considerations. As a practical matter, funds allotments have not been transferred between Support Components for reprogramming purposes except for end-of-fiscal year adjustments. In these cases, the Deputy Director for Support approves the transfer.

6. With regard to the purchase of real estate, or the construction of buildings and facilities, it has been the practice of the Deputy Director for Support to submit for approval to the Deputy Director of Central Intelligence proposed commitments involving funds in excess of \$25,000. It is felt that such proposed actions, regardless of amount, which were included in a DCI approved office budget and program need not be submitted to the Deputy Director of Central Intelligence for approval; except those actions which are considered particularly sensitive or would be of particular interest to the Deputy Director of Central Intelligence. When such proposed actions have not been included in a DCI approved office budget and program, it is suggested that the Deputy Director for Support be given approval authority up to

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ERL-5-4329

29 July 1965

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MEMORANDUM FOR: Executive Director-Comptroller**SUBJECT : Approval Authorities****REFERENCE : (a) [] same subject****(b) Memo dtd 23 Dec 63 to Deputies fr DDCI,
subj: Approval of Research and
Development Activities**

1. This memorandum submits recommendations for your approval; these recommendations are contained in paragraph 7.

2. Headquarters Regulation [] contains policy pertaining to the review and approval of budgets and programs, funds allocations to Agency components, guidance and instructions relating to approval authorities, and criteria regarding the reprogramming of allotted funds. A memorandum dated 23 December 1963 from the Deputy Director of Central Intelligence to the Deputy Directors established guidelines for the approval of research and development activities at the Deputy Director level and specifically authorized Deputy Directors to approve research and development activities which do not, singly, exceed \$150,000.

3. Neither [] nor the memorandum from the DDCI dated 23 December 1963 establish specific monetary approval levels for non-research and development activities. In the past, it has been the practice for the Deputy Director for Support to submit to the Deputy Director of Central Intelligence, only those proposed commitments which exceed \$150,000.

4. Support Directorate proposed commitments of a non-research and development nature which exceed \$150,000 are usually of a routine

TRANSMITTAL SLIP		01/29/65	
TO: Executive Director-Comptroller			
ROOM NO.	BUILDING		
7D59	Headquarters		
REMARKS:			
<p>Per our conversation.</p> <p>Attached is a proposal on approval authorities. This can be adjusted in any category if you feel that a change should be made. I have no strong feelings on any of the amounts involved but simply wanted a departure point as our guideline.</p> <p style="text-align: right;">R. L. Bannerman</p>			
FROM: Deputy Director for Support			
ROOM NO.	BUILDING	EXTENSION	
7D26	Headquarters		
FORM NO. 241 1 FEB 55		REPLACES FORM 36-8 WHICH MAY BE USED. ☆ GPO: 1957-O-329445 (47)	

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